

Capital Markets Compliance Certification Programme

A certification programme by



September - December 2024



**EURONEXT
CORPORATE SERVICES**

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Academy – Euronext Group

At Academy we aim at sharing **capital markets expertise** by turning it into world-class training courses and programmes.

Our programmes reflect the evolution and trends of **financial markets and their eco-systems**.

Key assets of our learning centre are our centrality in capital markets, and our **internal and external faculty**, whose contributors are drawn from practitioners, academics, advisors and financial market specialists.

As an Exchange system, being at the centre of financial markets, we understand not just what happens now, but also what's changing - so we can design our courses to equip you for the world of today and tomorrow.

An accredited Management System Certificate

Academy meets the management system standards UNI EN ISO 9001:2015, sector EA:37 since 2007.

The accreditation guarantees internationally recognised quality service standards and allows companies to apply for public funding to finance individual and company training projects.



Capital Markets Compliance Officer Certification Programme overview

Background

In today's ever-changing environment, listed companies, banks and investment firms need to equip themselves with new standards of integrity to manage, mitigate and prevent risk.

The Compliance Manager operates in the common space between business ethics and risk management, focusing on the processes and behaviours of the individuals (in relation to capital markets, government bodies and within the company itself) aimed at preventing and reducing risks (legal, financial, reputational) arising from the violation of laws and regulations (national and international), company standards and social norms.

The Certification Programme includes **concurrent sessions for banks** and **investment firms** on the one hand, **listed companies** on the other.

Benefits of attending and key take-aways

The Academy brand-new certification programme for Compliance Officer aims to:

- provide the most effective mindset necessary to deal with an unlimited number of laws, rules and regulations with a multidisciplinary approach
- review the regulatory framework for listed companies, banks and investment firms
- provide the knowledge and the tools to draft and implement an effective compliance programme in respect of an integrated Governance, Risk and Compliance (GRC) approach.

Who should attend

Target audience

- Compliance Officer
 - Controller
 - Auditor
 - Junior Analyst
 - Consultant in the Controls perimeter
- of **listed companies, banks** and **investment firms**.

Course Tutors

Academy experts

Logistics

Learning environment

The Mastercourse is a blended training programme.

The **Welcome ceremony and the first module of the course** will be carried out **in person in Milan at Euronext Offices**. (More details will be shared in due course).

The final Examination will be attended online on the Academy – Euronext Group elearning platform.

Learning material

The handouts and course material will be provided to the delegates in pdf format via the Academy elearning platform after each training session.

Certified Compliance Officer | Academy – Euronext Group

At successful completion of the online examination, delegates will be awarded the '**Certified Compliance officer**' by Academy – Euronext Group.

Course Overview

Module 1 - Plenary

Kick off in person in Milan

24 September 2024 | 9:30 – 11:00

Mindset and culture of a compliance officer

- ISO 37301:2021 - Compliance management systems (CMS): benefits of the International Standards implementation
- Overview of the role and importance of compliance officers
- Understanding the regulatory environment and compliance frameworks
- Ethical considerations in compliance management

11:00 | Coffee Break

11:15

The role of Compliance Officers in Listed Companies

- Designing an effective compliance programme
- Drafting compliance policies and procedures
- Creating a culture of Compliance within the company

13:00 | Networking Lunch

14:00

Setting up a Compliance Department:

- The required skill set:
 - understanding of the regulatory landscape
 - industry knowledge,
 - ability to assess risks, solve problems, interpret data
 - and communicate effectively
- The ideal Compliance Department structure in different sizes of companies

16:00 | Coffee Break

16:15

Group work

17:00 | Close of day 1

Module 1 - Plenary

In person in Milan

25 September 2024 | 9:30 – 11:30

The new GRC paradigm (Governance, Risk & Compliance): challenges and opportunities

- Handling the interdependencies among governance, risk and compliance (GRC)
- Setting up an integrated internal control system
 - The 3 levels of control

The relationship with internal stakeholders:

- The Board
- The Executive Committee

11:30 | Coffee Break

11:45

The GRC paradigm: a case study

The set up of a GRC framework in an organization

12:30 | Close of day 2

Module 2 – Plenary

Online

9 October 2024 | 9:30 – 12:30

Refresher of the regulatory

- Managing conflicts of interest
- Bribery, Code of conduct and Code of Ethics
- EU Whistleblowing Directive

Group work and discussion zone

12:30 | Close of day 3

10 October 2024 | 9:30 – 12:30

Refresher of the regulatory framework

- GDPR – Data Privacy
- Info and cyber Security: overview of the DORA Regulation

Group work and discussion zone

12:30 | Close of day 4

Module 2 – for Listed companies**Online****15 October 2024 | 9:30 – 12:30****Latest updates on:**

- MAR
- MiFID II

Group work and discussion zone**12:30 | Close of day 5****Module 2 – Banks and Investment Firms****Online****16 October 2024 | 9:30 – 12:30****Latest updates on:**

- MAR
- MiFID II
- Financial Crime

Group work and discussion zone**12:30 | Close of day 6****Online****17 October 2024 | 9:30 – 12:30****Latest updates on:**

- MiFIR
- EMIR

Group work and discussion zone**12:30 | Close of day 7**

Module 3 - Plenary

Online

24 October 2024 | 9:30 – 12:30 Compliance Monitoring and Reporting

- Conducting compliance audits and assessments
- Establishing monitoring processes to detect compliance issues
- Reporting compliance findings and violations internally and externally

12:30 | Close of day 8

25 October 2024 | 9:30 – 12:30 Promoting Ethical Behaviour in the organisation

- Handling ethical dilemmas and conflicts of interest

Compliance Training and Awareness

- Designing and delivering effective compliance training programs
- Raising awareness of compliance issues among employees and stakeholders
- Evaluating the effectiveness of training initiatives

Case study

12:30 | Close of day 9

Module 4 - Plenary

Online

7 November 2024 | 9:30 – 12:30 International Compliance considerations and implications

- Managing cross-border compliance
- Understanding global compliance standards and requirements
- Challenges and strategies for international compliance

12:30 | Close of day 10

Final Online Examination

Online
3 December 2024



Terms and conditions

The registration form is a legally binding agreement between Euronext Corporate Services Italy S.r.l. and the applicant (or the company the applicant works for) and is defined by the following conditions:

Capital Markets Compliance Certification Programme

(all the timings are CET)

Registration

The applicant can submit the registration form, duly filled out, to Academy 7 days prior to the course date via:

- **EMAIL** academy@euronext.com
- **WEB** [Academy website](#)

To register after this date, please contact the following phone number:

- **TEL +39 02 72426.086**

Participation will be confirmed in writing by the Academy administration.

Registration fee

The individual registration fee is **€ 3,500** + VAT (if applicable).

Discounts

Early bird by 28 June: 10% discount

ComplyLog Clients: 20% discount on the total amount

Multiple registrations - Discounts are available for multiple registrations of the same company. In particular:

- Two participants: 10% discount on the total amount
- Three participants: 15% discount on the total amount

Payment method

Fees must be paid:

- Upon receipt of the email from Academy confirming the applicant's registration (sent approximately 7 days prior to the course date)

or

- Upon receipt of the invoice from Euronext Corporate Services Italy S.r.l. (Academy is part of Euronext Corporate Services Italy S.r.l. Company)

Payment must be made via **BANK TRANSFER** to:

Euronext Corporate Services Italy S.r.l.

P.zza degli Affari, 6

20123 Milano

Tax Code **11734560961**

VAT No. **IT11734560961**

Intesa San Paolo S.p.A.

P.zza Cordusio, 4

20123 Milano

IBAN - **IT22 N030 6901 6261 0000 0125 565**

BIC - **BCITITMM**

A copy of the bank transfer must be emailed to Academy at academy@euronext.com.

An invoice will follow and will be sent to the email addresses given on the booking form.

Intellectual property rights

The Client acknowledges and agrees that the contents made available during the training (including, but not limited to, videos, pictures and texts) are property of Euronext Corporate Services Italy S.r.l. or are supplied by Euronext Corporate Services Italy S.r.l. in virtue of certain contractual arrangements with third parties and cannot be reproduced, distributed or used for business purposes without the prior written consent of Euronext Corporate Services Italy S.r.l. or the entity having the relevant rights on the same.

Liability

Whilst every effort is made by Euronext Corporate Services Italy S.r.l. to ensure that the contents of the training (including, but not limited to, videos, pictures and texts) are accurate and up to date, Euronext Corporate Services Italy S.r.l. shall not be liable whatsoever for any inaccuracy or misleading information, nor for any consequential damage or expense or any loss of profit or any liability to third parties incurred as a result of reliance on such information, which is provided for educational purpose only. Euronext Corporate Services Italy S.r.l.

total liability under this agreement shall be limited to the maximum amount represented by the Fees paid to the latter by the Client.

Traceability of financial flows

Euronext Corporate Services Italy S.r.l. and the Client assume all obligations regarding the traceability of the financial flows provided by Law 136/2010, as subsequently amended and implemented (the "Traceability Obligations").

In relation to the payments to be made pursuant to the present Contract, the Client, if it is a public contractor pursuant to decree law 163/2006 (Code of public contracts for works, services and supplies), to ensure the enforcement of Law 136/2010 and subsequent amendments, undertakes to communicate to Euronext Corporate Services Italy S.r.l., by the form attached to the Contract, the identification bidding code (CIG) and, in case, the unique code of project (CUP).

In particular, in fulfilling the Traceability Obligations, Euronext Corporate Services Italy S.r.l. will communicate to the Client:

- (i) the bank accounts details to be used, also nonexclusively, for the payments to be made by the Client pursuant to the present Contract;
- (ii) the personal details and the fiscal code of the persons delegated to operate on them, indicating the relevant role and powers, within 7 (seven) days from the creation of the accounts above (or, in case of existing accounts, within 7 (seven) days from their first use in relation to the payments made by the Client).
- (iii) Any possible amendment of the information indicated in points (i) and (ii) above, will have to be communicated by the Client within 7 (seven) days from occurrence.

Let it be understood that, save for possible derogations and partial exemptions to Law 136/2010, failure to use instruments suitable to permit the full traceability of the financial flows (for instance, bank or post transfer) and the failure to comply with any other Traceability Obligations, are ground to terminate the present Contract.

Euronext Corporate Services Italy S.r.l. undertakes, in particular, to inform the Client and the Prefecture (territorial office of the Government of the province where the Client has its registered office) if it becomes aware of breaches by its contractual counterparties, if any, in relation to the Traceability Obligations.

Cancellation Policy

According to article 1373 C.C., to withdraw from this contract applicants must send a written notice via email to academy@euronext.com:

- The fee will be fully refundable up to 7 working days prior to course date.
- A 50% refund will be provided for cancellations made during the 6 days leading to the course,
- Fees are non refundable for cancellations made 1 day prior to the course date.

Substitution of attendee (from the same company) may be made at any time.

Academy accepts requests to replace the course with another Academy course. The rescheduled training must take place within 12 months.

Changes to the program

Euronext Corporate Services Italy S.r.l. reserves the right to postpone or cancel the course and notify the participant via fax or email at least 1 week before the course date; in this case, the participant is entitled only to a full refund of the course fee. In addition, Euronext Corporate Services Italy S.r.l. is entitled to make changes to the programme and seat of the training and/or substitute the expected panellists with others with equal skills and competence.

Governing law and jurisdiction

The present agreement shall be governed by Italian law. The parties assign to the Court of Milan the exclusive jurisdiction over any dispute arising out the present agreement, this including – but not limited to – any proceedings regarding the validity, the construction, the performance and/ or the termination of the agreement.

Booking form

Please read the terms and conditions on the previous page. Fill out the form and send email to academy@euronext.com.

For further information +39 02 72426086 – academy@euronext.com

Capital Markets Compliance Certification Programme

REGISTRATION FEE

Individual		<input type="checkbox"/> € 3,500 + 22% VAT (if applicable)
2 participants	10% discount	<input type="checkbox"/> € 6,300 + 22% VAT (if applicable)
3 participants	15% discount	<input type="checkbox"/> € 8,925 + 22% VAT (if applicable)
Early Bird by 28 June	10% discount	<input type="checkbox"/> € 3,150 + 22% VAT (if applicable)
ComplyLog Clients	20% discount	<input type="checkbox"/> € + 22% VAT (if applicable)

PARTICIPANT INFORMATION

Name and Surname			
Jop title		Company	
Email		Phone	
Job Field			Knowledge level of the subject
<input type="checkbox"/> General Management	<input type="checkbox"/> ICT	<input type="checkbox"/> ESG and Sustainable Business	<input type="checkbox"/> Basic
<input type="checkbox"/> HR, Organisation and Development	<input type="checkbox"/> Legal	<input type="checkbox"/> Finance	<input type="checkbox"/> Intermediate
<input type="checkbox"/> Administration and Control	<input type="checkbox"/> R&D	<input type="checkbox"/> Risk Management	<input type="checkbox"/> Advanced
Nature of business			
<input type="checkbox"/> Listed/unlisted company	<input type="checkbox"/> Bank	<input type="checkbox"/> Advisory	<input type="checkbox"/> Energy
<input type="checkbox"/> Lawyer	<input type="checkbox"/> Investment Bank	<input type="checkbox"/> Private Equity	<input type="checkbox"/> Funds
Company Address			
Street	N.	Zip code	City
		Country	

BILLING INFORMATION

The invoice must be addressed to:

Company name/Participant name and surname

VAT number

Department

Billing reference name

Street

N.

Zip code

City

Country

Phone

Email

ELECTRONIC INVOICE (IF APPLICABLE)

According to the Italian Law no. 205 of 27.12.2017 and to Provision no. 89757 of 30.4.2018 of the Italian TAX Authority and subsequent amendment and/or integrations, the Client duly holder of an Italian VAT code/Tax identification code) provides with:

Certified Email Address (PEC):

Or Recipient Code:

In order to receive the electronic invoice through the Italian Exchange System (SDI) according to the above information

Phone

Email

SPLIT PAYMENT (IF APPLICABLE)

According to the art. 17-ter of the Italian D.P.R. no. 633/72 (as subsequently amended and implemented), the Client (duly holder of an Italian VAT code/Tax identification code) declares that:

☐ is subject to the "Split Payment" VAT regime ☐ is not subject to the "Split Payment" VAT regime

and undertakes to communicate any change of such regime.

PRIVACY

By signing this booking form I declare that I have read the informative document regarding the processing of personal data on the Euronext Corporate Services's website ([Privacy Policy | Euronext Corporate Services](#)) and I accept the General Terms and Conditions of the service.

In addition to the declaration above, by ticking the relevant box I also inform that (*please tick the chosen box*):

☐ I DO

☐ I DO NOT

authorize Euronext Corporate Services to collect and to process my personal data for the purpose of "direct marketing", by sending advertising material, direct sales and promotion of products and services of Euronext Corporate Services, carrying out market research, marketing communications, also using data subject's name for publicity carried out through automated means of contact such as e-mail, fax messages, mms or sms.

☐ I DO

☐ I DO NOT

authorize the communication/the transfer of the personal data for the purposes of direct marketing by third parties - even outside the European Community - included the other companies of the Euronext Group, as well as third parties referred to in point c) of the informative document regarding the processing of personal data ([Privacy Policy | Euronext Corporate Services](#)).

Signature and company seal

Date:

Academy

Comprehensive, quality education is fundamental for the development and growth of the economy. As part of a pan-European market infrastructure at the centre of European capital markets, Academy's main objective and activity is turning capital markets expertise into world-class training courses and programmes and making them relevant to the wider financial community of today and of tomorrow. Key Academy assets are our centrality in capital markets, and our internal and external faculty, made up of practitioners, academics, advisors and financial market specialists. Interactive and innovative learning methods make all Academy programmes an inspiring experience.

Contacts

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